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PATENT
Docket No. 406462000210

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U. B. B.
Irina Britva

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

George H. LOWELL et al.

Serial No.: 09/938,406

Filing Date: August 21, 2001

For: PROTEIN AND PEPTIDE VACCINES
FOR INDUCING MUCOSAL
IMMUNITY

Examiner: To be Assigned

Group Art Unit: 1648

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Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Attached hereto for filing are the following:

1. Response to Notice to comply with requirements for patent applications containing nucleotide and/or amino acid sequence disclosures
2. Copy of Notice to comply with requirements for patent applications containing nucleotide and/or amino acid sequence disclosures
3. A paper copy of Sequence Listing
4. A computer readable form copy of Sequence Listing on CD-R (CRF COPY)
-Machine format: IBM PC COMPATIBLE
-Operating system: PC-DOS/MS-DOS
-File contained on CD: 4064620002.txt

-Date recorded: November 7, 2001

5. Return postcard

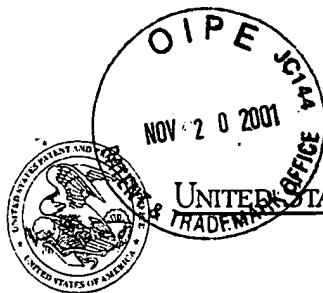
In the unlikely event that the Patent Office determines that extensions and/or other relief is required, applicants petition for any required relief including extensions of time and authorize the Assistant Commissioner to charge the cost of such petitions and/or fees due to our Deposit Account No. 03-1952 under Order No. 406462000210. The Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Respectfully submitted,

Dated: November 7, 2001

By: Karen Babyak Dow
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/938,406 | 08/21/2001 | George H. Lowell | 40646-20002.10 |

CONFIRMATION NO. 1965

FORMALITIES LETTER



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NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

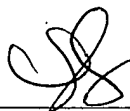
Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

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*A copy of this notice **MUST** be returned with the reply.*



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